

## **EXHIBIT B-3**

5143587 - MATHEW, SANDEEP THOMAS  
Reportable Events  
Regulator Archive and Z Records

3  
9  
10

**TWPL00001213**

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008Page 2

Details for Request# 4496514  
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5143587
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001215

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 3  
 Individual: 5143587 - MATHEW, SANDEEP THOMAS  
 Administrative Information:

## Composite Information:

Full Legal Name: MATHEW, SANDEEP THOMAS

Year of Birth: 1981

State of Residence: <<No Current Active Employments for this Individual.>>

## Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information:

Individual CRD#: 5143587

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1981

## Registrations with Previous Employer(s):

From 03/21/2006 To 12/05/2007 THOMAS WEISEL PARTNERS LLC (46237)

Reason for Termination: Voluntary

Termination Comment:

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001216

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Administrative Information:

## Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	03/28/2007
ARCA	GS	12/20/2007	TERMED	03/28/2007
CA	AG	12/20/2007	TERMED	03/28/2007
FINRA	GS	12/20/2007	TERMED	03/28/2007
FINRA	RS	12/20/2007	TERMED	05/30/2007
MA	AG	12/20/2007	TERMED	03/28/2007
NQX	GS	12/20/2007	TERMED	03/28/2007
NY	AG	12/20/2007	TERMED	03/28/2007
NYSE	GS	12/20/2007	TERMED	03/28/2007
NYSE	RS	12/20/2007	TERMED	05/30/2007

## Professional Designations:

<< None found for this Individual: MATHEW, SANDEEP THOMAS >>

## Employment History:

From 03/2006 To Present:	Name: THOMAS WEISEL PARTNERS LLC
	Location: MUMBAI, INDIA
	Position: RESEARCH ASSOCIATE
	Investment Related: Yes
From 07/2005 To 03/2006	Name: BA CONTINUUM SOLUTIONS PVT. LTD.
	Location: MUMBAI, INDIA
	Position: ASSOCIATE
	Investment Related: Yes
From 11/2004 To 07/2005	Name: BA CONTINUUM SOLUTIONS PVT. LTD.
	Location: HYDERABAD, INDIA
	Position: ASSOCIATE
	Investment Related: Yes
From 06/2003 To 11/2004	Name: EVALUESERVE.COM PRIVATE LTD.
	Location: GURGAON, INDIA
	Position: SENIOR BUSINESS ANALYST; TEAM LEADER
	Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001217

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 5  
Individual: 5143587 - MATHEW, SANDEEP THOMAS  
Administrative Information:

**Employment History (cont) :**

From 08/1999 To 06/2003	Name: BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE, PILANI
	Location: PILANI, INDIA
	Position: STUDENT - UNDERGRADUATE
	Investment Related: No
From 05/1999 To 07/1999	Name: UNEMPLOYED
	Location: CHENNAI, INDIA
	Position: UNEMPLOYED
	Investment Related:
From 06/1992 To 04/1999	Name: DON BOSCO HIGH SCHOOL
	Location: CHENNAI, INDIA
	Position: STUDENT
	Investment Related: No

Office of Employment History:

From 03/2006 To 12/2007  
Name: THOMAS WEISEL PARTNERS LLC (46237)  
Independent Contractor: No

Office of Employment Address:

CRD	NYSE	Branch	Firm	Billing	Address	Address	
<u>Branch #</u>	<u>Code</u>	<u>Number</u>	<u>Code</u>		<u>Start Date</u>	<u>End Date</u>	<u>Address</u>
118143	018				03/21/2006	12/05/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA
Registered Location?				Y	Type of Office:	Located At	

**Other Business:**

<<No Other Business found for this Individual.>>

CRD® or IARD (SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Administrative Information:

## Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	03/09/2007	03/08/2007	PASSED	90	03/06/2007-07/04/2007
S7	OFFICIAL_RESULT	03/28/2007	03/26/2007	PASSED	80	03/06/2007-07/04/2007
S86	OFFICIAL_RESULT	05/08/2007	05/06/2007	PASSED	76	03/30/2007-07/28/2007
S87	OFFICIAL_RESULT	05/30/2007	05/28/2007	PASSED	78	03/30/2007-07/28/2007

## CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 03/28/2007

## Current CE

&lt;&lt;No Current CE Session Found &gt;&gt;

## Next CE

Requirement Window	Requirement Type	Session
03/28/2009-07/25/2009	Anniversary	101

## CE Directed Sequence History

&lt;&lt;No CE Directed Sequence History Found for this Individual.&gt;&gt;

## Inactive CE History Dates

&lt;&lt;No Inactive CE History Found for this Individual.&gt;&gt;

## Previous CE Requirement Status

&lt;&lt;No Previous CE Session Found for this Individual.&gt;&gt;

## Filing History:

Filing Date	Form Type	Filing Type	Source

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001219

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
03/29/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
03/05/2007	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
05/09/2006	NRF	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001220

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Administrative Information:

**Number of Reportable Events:**

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001221

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Reportable Events:

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<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001222

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5143587 - MATHEW, SANDEEP THOMAS

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001223



516662 - NARINGREKAR, SAMEER RAMESH  
Reportable Events  
Regulator Archive and Z Records

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9  
10

**TWPL00001224**

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008

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Notice

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CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 2

Details for Request# 4496566  
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5166662
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001226

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 3  
 Individual: 5166662 - NARINGREKAR, SAMEER RAMESH  
 Administrative Information:

## Composite Information:

Full Legal Name: NARINGREKAR, SAMEER RAMESH

Year of Birth: 1973

State of Residence: <<No Current Active Employments for this Individual.>>

## Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information:

Individual CRD#: 5166662

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1973

## Registrations with Previous Employer(s):

From 06/12/2006 To 11/30/2007 THOMAS WEISEL PARTNERS LLC (46237)

Reason for Termination: Voluntary

Termination Comment:

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001227

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 4  
 Individual: 5166662 - NARINGREKAR, SAMEER RAMESH  
 Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	01/08/2007
ARCA	GS	12/20/2007	TERMED	01/08/2007
CA	AG	12/20/2007	TERMED	01/08/2007
FINRA	GS	12/20/2007	TERMED	01/08/2007
FINRA	RS	12/20/2007	TERMED	02/15/2007
MA	AG	12/20/2007	TERMED	01/08/2007
NQX	GS	12/20/2007	TERMED	01/08/2007
NY	AG	12/20/2007	TERMED	01/08/2007
NYSE	GS	12/20/2007	TERMED	01/08/2007
NYSE	RS	12/20/2007	TERMED	02/15/2007

Professional Designations:

<< None found for this Individual: NARINGREKAR, SAMEER RAMESH >>

Employment History:

From 06/2006 To Present:	Name: THOMAS WEISEL INTERNATIONAL Location: MUMBAI, INDIA Position: RESEARCH ASSOCIATE Investment Related: Yes
From 07/2005 To 06/2006	Name: RELIANCE INFOCOMM LIMITED Location: MUMBAI, INDIA Position: PRODUCT MANAGER Investment Related:
From 04/2005 To 07/2005	Name: NONE Location: MUMBAI, INDIA Position: BREAK BETWEEN END OF SCHOOL AND A NEW JOB Investment Related:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 5  
 Individual: 5166662 - NARINGREKAR, SAMEER RAMESH  
 Administrative Information:

## Employment History (cont) :

From 04/2004 To 04/2005      Name: INDIAN SCHOOL OF BUSINESS  
 Location: HYDERABAD, INDIA  
 Position: FULL TIME STUDENT  
 Investment Related:

From 05/2003 To 04/2004      Name: WIPRO TECHNOLOGIES  
 Location: BANGALORE, INDIA  
 Position: PROJECT LEAD  
 Investment Related:

From 02/2003 To 04/2003      Name: NONE  
 Location: MUMBAI, INDIA  
 Position: MOVED BACK TO INDIA FROM US AND  
 VACATION  
 Investment Related:

From 11/2000 To 02/2003      Name: CISCO SYSTEMS INC.  
 Location: SAN JOSE, US  
 Position: SOFTWARE ENGINEER III  
 Investment Related:

From 06/1999 To 11/2000      Name: BMC SOFTWARE, INC.  
 Location: SAN JOSE, US  
 Position: STAFF PRODUCT DEVELOPER  
 Investment Related:

From 02/1997 To 06/1999      Name: IT SOLUTIONS, INC.  
 Location: SAN RAMON, US  
 Position: SENIOR SOFTWARE ENGINEER  
 Investment Related:

From 11/1996 To 02/1997      Name: IT SOLUTIONS LIMITED  
 Location: BANGALORE, US  
 Position: SOFTWARE ENGINEER  
 Investment Related:

From 10/1994 To 10/1996      Name: TATA UNISYS LTD  
 Location: MUMBAI, INDIA  
 Position: SOFTWARE ENGINEER  
 Investment Related:

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008Page 6

Individual: 5166662 - NARINGREKAR, SAMEER RAMESH

Administrative Information:

**Office of Employment History:**

From 06/2006 To 11/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

**Office of Employment Address:**

CRD	NYSE Branch	Firm	Billing	Address	Address	
<u>Branch #</u>	<u>Code Number</u>	<u>Code</u>		<u>Start Date</u>	<u>End Date</u>	<u>Address</u>
118143	018			06/12/2006	11/30/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location? Y Type of Office: Located At

**Other Business:**

&lt;&lt;No Other Business found for this Individual.&gt;&gt;

**Examination Information:**

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	12/15/2006	12/14/2006	PASSED	71	11/08/2006-03/08/2007
S7	OFFICIAL_RESULT	01/08/2007	01/04/2007	PASSED	81	11/08/2006-03/08/2007
S86	OFFICIAL_RESULT	02/15/2007	02/13/2007	PASSED	83	01/09/2007-05/09/2007
S87	OFFICIAL_RESULT	01/23/2007	01/22/2007	PASSED	76	01/09/2007-05/09/2007

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001230

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 7  
 Individual: 5166662 - NARINGREKAR, SAMEER RAMESH  
 Administrative Information:

**CE Regulatory Element Status:**

Current CE Status: SATISFIED

CE Base Date: 01/08/2007

**Current CE**

<<No Current CE Session Found >>

**Next CE**

Requirement Window	Requirement Type	Session
01/08/2009-05/07/2009	Anniversary	101

**CE Directed Sequence History**

<<No CE Directed Sequence History Found for this Individual.>>

**Inactive CE History Dates**

<<No Inactive CE History Found for this Individual.>>

**Previous CE Requirement Status**

<<No Previous CE Session Found for this Individual.>>

**Filing History:**

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
01/08/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
11/07/2006	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
06/20/2006	NRF	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5166662 - NARINGREKAR, SAMEER RAMESH

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001232

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5166662 - NARINGREKAR, SAMEER RAMESH

Reportable Events:

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<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001233

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5166662 - NARINGREKAR, SAMEER RAMESH

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001234



5396537 - SOMAYAJULA, SRIRAM VENKATA  
Reportable Events  
Regulator Archive and Z Records

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CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 1

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CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 2

Details for Request# 4496570  
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5396537
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001237

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008Page 3

Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA

Administrative Information:

## Composite Information:

Full Legal Name: SOMAYAJULA, SRIRAM VENKATA

Year of Birth: 1982

State of Residence: &lt;&lt;No Current Active Employments for this Individual.&gt;&gt;

## Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information:

Individual CRD#: 5396537

Other Names Known By: SOMAYAJULA, SRIRAM

Year of Birth: 1982

## Registrations with Previous Employer(s):

From 05/21/2007 To 12/06/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001238

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA

Administrative Information:

## Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	10/15/2007
ARCA	GS	12/20/2007	TERMED	10/15/2007
CA	AG	12/20/2007	TERMED	10/15/2007
FINRA	GS	12/20/2007	TERMED	10/15/2007
FINRA	RS	11/07/2007	T_NOREG	
MA	AG	12/20/2007	TERMED	10/15/2007
NQX	GS	12/20/2007	TERMED	10/15/2007
NY	AG	12/20/2007	TERMED	10/15/2007
NYSE	GS	12/20/2007	TERMED	10/15/2007
NYSE	RS	11/07/2007	T_NOREG	

## Professional Designations:

&lt;&lt; None found for this Individual: SOMAYAJULA, SRIRAM VENKATA &gt;&gt;

## Employment History:

From 05/2007 To Present:	Name: THOMAS WEISEL PARTNERS LLC
	Location: MUMBAI, INDIA
	Position: RESEARCH ASSOCIATE
	Investment Related: Yes
From 04/2006 To 04/2007	Name: INDIAN SCHOOL OF BUSINESS
	Location: HYDERABAD, INDIA
	Position: STUDENT
	Investment Related: No
From 01/2006 To 03/2006	Name: AGARWAL AND ITALIA, CHARTERED ACCOUNTANTS
	Location: HYDERABAD, INDIA
	Position: ASSISTANT MANAGER - AUDIT
	Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001239

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 5  
 Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA  
 Administrative Information:

## Employment History (cont) :

From 09/2005 To 12/2005	Name: VACATION Location: HYDERABAD, INDIA Position: VACATION Investment Related: No
From 04/2004 To 08/2005	Name: AGROTECH FOODS LIMITED Location: HYDERABAD, INDIA Position: REGIONAL COMMERCIAL MANAGER Investment Related: No
From 01/2004 To 03/2004	Name: VACATION Location: HYDERABAD, INDIA Position: VACATION Investment Related: No
From 07/2002 To 12/2003	Name: SHARP AND TANNAN, CHARTERED ACCOUNTANTS Location: HYDERABAD, INDIA Position: INTERN Investment Related: No
From 06/1999 To 05/2002	Name: BADRUKA COLLEGE OF COMMERCE AND ARTS, OSMANIA UNIVERSITY Location: HYDERABAD, INDIA Position: STUDENT Investment Related: No
From 06/1997 To 05/1999	Name: LITTLE FLOWER JUNIOR COLLEGE , BOARD OF INTERMEDIATE EDUCATION AP Location: HYDERABAD, INDIA Position: STUDENT Investment Related: No
From 06/1994 To 05/1997	Name: SRI GOPAL NAIDU HIGHER SECONDARY SCHOOL Location: COIMBATORE, INDIA Position: STUDENT Investment Related: No

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA

Administrative Information:

## Office of Employment History:

From 05/2007 To 12/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

## Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address	
<u>Branch #</u>	<u>Code Number</u>	<u>Code</u>		<u>Start Date</u>	<u>End Date</u>	<u>Address</u>
118143	018			05/21/2007	12/06/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA
Registered Location?			Y	Type of Office:	Located At	

## Other Business:

&lt;&lt;No Other Business found for this Individual.&gt;&gt;

## Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	09/14/2007	09/13/2007	PASSED	80	08/22/2007-12/20/2007
S7	OFFICIAL_RESULT	10/15/2007	10/13/2007	PASSED	84	08/22/2007-12/20/2007
S86	OFFICIAL_WAIVR	10/25/2007				10/16/2007-02/13/2008
S87	WITHDRAW	11/07/2007				10/16/2007-02/13/2008

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001241

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 7  
 Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA  
 Administrative Information:

## CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 10/15/2007

## Current CE

&lt;&lt;No Current CE Session Found &gt;&gt;

## Next CE

Requirement Window	Requirement Type	Session
10/15/2009-02/11/2010	Anniversary	101

## CE Directed Sequence History

&lt;&lt;No CE Directed Sequence History Found for this Individual.&gt;&gt;

## Inactive CE History Dates

&lt;&lt;No Inactive CE History Found for this Individual.&gt;&gt;

## Previous CE Requirement Status

&lt;&lt;No Previous CE Session Found for this Individual.&gt;&gt;

## Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
11/07/2007	U5	PARTIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
10/15/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
08/21/2007	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001243

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 9  
Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA  
Reportable Events:

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<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001244

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5396537 - SOMAYAJULA, SRIRAM VENKATA

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001245



5150752 - NERELLAPALLI, VIJAYA SARATHI  
Reportable Events  
Regulator Archive and Z Records

3  
8  
9

TWPL00001246

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 1

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 2

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Details for Request# 4496571  
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5150752
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 3  
 Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI  
 Administrative Information:

## Composite Information:

Full Legal Name: NERELLAPALLI, VIJAYA SARATHI

Year of Birth: 1969

State of Residence: <<No Current Active Employments for this Individual.>>

## Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information:

Individual CRD#: 5150752

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1969

## Registrations with Previous Employer(s):

From 05/15/2006 To 12/05/2007 THOMAS WEISEL PARTNERS LLC (46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001249

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 4  
 Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI  
 Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	09/11/2006
ARCA	GS	12/20/2007	TERMED	06/29/2006
CA	AG	12/20/2007	TERMED	07/12/2006
FINRA	GS	12/20/2007	TERMED	06/29/2006
FINRA	RS	12/20/2007	TERMED	07/19/2006
MA	AG	12/20/2007	TERMED	07/12/2006
NQX	GS	12/20/2007	TERMED	07/12/2006
NY	AG	12/20/2007	TERMED	07/12/2006
NYSE	GS	12/20/2007	TERMED	09/11/2006
NYSE	RS	12/20/2007	TERMED	07/19/2006

Professional Designations:

<< None found for this Individual: NERELLAPALLI, VIJAYA SARATHI >>

Employment History:

From 05/2006 To Present:	Name: THOMAS WEISEL INTERNATIONAL Location: MUMBAI, INDIA Position: VICE PRESIDENT Investment Related: Yes
From 06/2000 To 04/2006	Name: GENPACT Location: BANGALORE, INDIA Position: ASSISTANT VICE PRESIDENT Investment Related: No
From 05/1995 To 05/2000	Name: INDIAN INSTITUTE OF MANAGEMENT Location: AHMEDABAD, INDIA Position: FULL-TIME EDUCATION Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI

Administrative Information:

## Office of Employment History:

From 05/2006 To 12/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

## Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address	
Branch #	Code	Number	Code	Start Date	End Date	Address
118143	018			05/15/2006	12/05/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA
				Y	Type of Office:	Located At

## Other Business:

&lt;&lt;No Other Business found for this Individual.&gt;&gt;

## Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	07/12/2006	07/11/2006	PASSED	81	06/06/2006-10/04/2006
S7	OFFICIAL_RESULT	06/29/2006	06/28/2006	PASSED	85	06/06/2006-10/04/2006
S86	OFFICIAL_WAIVR	07/18/2006				07/06/2006-11/03/2006
S87	OFFICIAL_RESULT	07/19/2006	07/18/2006	PASSED	84	07/06/2006-11/03/2006

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001251

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 6  
 Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI  
 Administrative Information:

**CE Regulatory Element Status:**

Current CE Status: SATISFIED

CE Base Date: 06/29/2006

**Current CE**

<<No Current CE Session Found >>

**Next CE**

Requirement Window	Requirement Type	Session
06/29/2008-10/26/2008	Anniversary	101

**CE Directed Sequence History**

<<No CE Directed Sequence History Found for this Individual.>>

**Inactive CE History Dates**

<<No Inactive CE History Found for this Individual.>>

**Previous CE Requirement Status**

<<No Previous CE Session Found for this Individual.>>

**Filing History:**

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/29/2006	U4	CONVERSION	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/05/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
06/05/2006	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001252

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001253

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI

Reportable Events:

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

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Individual: 5150752 - NERELLAPALLI, VIJAYA SARATHI

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

**TWPL00001255**



4749686 - SHARMA, VISHAL  
Reportable Events  
Regulator Archive and Z Records

3  
11  
12

**TWPL00001256**

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
Snapshot - Individual  
CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 2

Details for Request# 4496576  
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	4749686
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
 Snapshot - Individual  
 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 3  
 Individual: 4749686 - SHARMA, VISHAL  
 Administrative Information:

## Composite Information:

Full Legal Name: SHARMA, VISHAL

Year of Birth: 1978

State of Residence: MO,  
 <<No Current Active Employments for this Individual.>>

## Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information:

Individual CRD#: 4749686

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1978

## Registrations with Previous Employer(s):

From 09/07/2006 To 12/05/2007 THOMAS WEISEL PARTNERS LLC (46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001259

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 4749686 - SHARMA, VISHAL

Administrative Information:

## Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	01/02/2008	TERMED	09/13/2006
ARCA	GS	01/02/2008	TERMED	09/13/2006
CA	AG	01/02/2008	TERMED	09/13/2006
FINRA	GS	01/02/2008	TERMED	09/13/2006
FINRA	RS	01/02/2008	TERMED	09/13/2006
MA	AG	01/02/2008	TERMED	09/13/2006
NQX	GS	01/02/2008	TERMED	09/13/2006
NY	AG	01/02/2008	TERMED	09/13/2006
NYSE	GS	01/02/2008	TERMED	09/13/2006
NYSE	RS	01/02/2008	TERMED	09/13/2006

From 01/02/2004 To 09/01/2006

STIFEL, NICOLAUS &amp; COMPANY, INCORPORATED (793)

Reason for Termination: Voluntary

Termination Comment:

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	09/05/2006	TERMED	08/20/2004
CBOE	GS	09/05/2006	TERMED	08/20/2004
FINRA	GS	09/05/2006	TERMED	08/20/2004
FINRA	RS	09/05/2006	TERMED	02/08/2005
MO	AG	09/05/2006	TERMED	09/07/2004
NQX	GS	09/05/2006	TERMED	07/12/2006
NYSE	GS	09/05/2006	TERMED	08/20/2004
NYSE	RS	09/05/2006	TERMED	02/08/2005
PHLX	GS	09/05/2006	TERMED	08/20/2004

## Professional Designations:

&lt;&lt; None found for this Individual: SHARMA, VISHAL &gt;&gt;

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CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM  
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 CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC  
Request Submitted: 04/17/2008 Page 5  
 Individual: 4749686 - SHARMA, VISHAL  
 Administrative Information:

**Employment History:**

From 09/2006 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: RESEARCH ANALYST Investment Related: Yes
From 01/2004 To 08/2006	Name: STIFEL NICOLAUS & COMPANY, INCORPORATED Location: ST. LOUIS, MO USA Position: ASSOCIATE ANALYST Investment Related: Yes
From 06/2003 To 09/2003	Name: MISSOURI STATE EMPLOYEES' RETIREMENT SYSTEM Location: JEFFERSON CITY, MO USA Position: SUMMER INTERN Investment Related: Yes
From 08/2001 To 05/2003	Name: UNIVERSITY OF MISSOURI Location: COLUMBIA, MO USA Position: FULL TIME EDUCATION ; VARIOUS PART TIME POSITIONS HELD AT THE Investment Related: No
From 12/2000 To 06/2001	Name: MOTOROLA INDIA PRIVATE LIMITED Location: BANGALORE, INDIA Position: ASSISTANT FINANCE MANAGER Investment Related: No
From 07/2000 To 12/2000	Name: UNEMPLOYED Location: COIMBATORE, INDIA Position: UNEMPLOYED Investment Related: No
From 07/1997 To 07/2000	Name: VKS AIYER & COY Location: COIMBATORE, INDIA Position: APPRENTICE Investment Related: No

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Individual: 4749686 - SHARMA, VISHAL

Administrative Information:

## Employment History (cont) :

From 01/1994 To 07/1997      Name:      FULL TIME EDUCATION  
 Location:      COIMBATORE,      INDIA  
 Position:      STUDENT  
 Investment Related:      No

## Office of Employment History:

From 09/2006 To 12/2007      Name:      THOMAS WEISEL PARTNERS LLC (46237)  
 Independent Contractor:      No

## Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address	
Branch #	Code Number	Code		Start Date	End Date	Address
118143	018			09/07/2006	12/05/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location?      Y      Type of Office:      Located At

From 01/2004 To 09/2006

Name:      STIFEL, NICOLAUS & COMPANY, INCORPORATED  
 (793)  
 Independent Contractor:      No

## Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address	
Branch #	Code Number	Code		Start Date	End Date	Address
204235	78F	793		12/01/2005	09/01/2006	ONE SOUTH STREET BALTIMORE, MD 21202 UNITED STATES

Registered Location?      Y      Type of Office:      Supervised From

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Individual: 4749686 - SHARMA, VISHAL

Administrative Information:

**Office of Employment Address:**

CRD	NYSE Branch	Firm	Billing	Address	Address	
Branch #	Code Number	Code		Start Date	End Date	Address
173955	HO	HO		01/02/2004	09/01/2006	501 N. BROADWAY ST. LOUIS, MO 63102 UNITED STATES
Registered Location?				Y	Type of Office:	Located At
				793	01/02/2004 02/15/2006	501 NORTH BROADWAY ST. LOUIS, MO 63102 USA
Registered Location?				N	Type of Office:	Located At

**Other Business:**<<No Other Business found for this Individual.>>**Examination Information:**

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	09/06/2004	09/03/2004	PASSED	76	05/18/2004-09/15/2004
S7	OFFICIAL_RESULT	08/20/2004	08/19/2004	PASSED	84	05/18/2004-09/15/2004
S86	OFFICIAL_WAIVR	07/15/2004				05/18/2004-04/04/2005
S87	OFFICIAL_RESULT	02/08/2005	02/07/2005	PASSED	84	05/18/2004-04/04/2005

**CE Regulatory Element Status:**

Current CE Status: SATISFIED

CE Base Date: 08/20/2004

**Current CE**<<No Current CE Session Found >>CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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 Individual: 4749686 - SHARMA, VISHAL  
 Administrative Information:

Next CE  
 Requirement Window      Requirement Type      Session  
 08/20/2009-12/17/2009      Anniversary      101

CE Directed Sequence History  
 . <<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates  
 <<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	REQUIRED	08/20/2006-12/17/2006	101	08/21/2006	08/21/2006-
Anniversary	SATISFIED	08/20/2006-12/17/2006	101	08/21/2006	08/21/2006- CMPLT

Filing History:

Filing Date	Form Type	Filing Type	Source
01/02/2008	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
09/13/2006	U4	RELICENSE	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
09/05/2006	U5	FULL	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
07/29/2006	U4	CONVERSION	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
03/21/2006	U4	AMENDMENT	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
02/15/2006	U4	INDVLBRNCHLNK	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED

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Individual: 4749686 - SHARMA, VISHAL

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
10/03/2005	U4	AMENDMENT	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
05/17/2004	U4	INITIAL	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
01/13/2004	NRF	INITIAL	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED

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Individual: 4749686 - SHARMA, VISHAL

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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TWPL00001266

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

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CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

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Individual: 4749686 - SHARMA, VISHAL

Reportable Events:

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<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

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Individual: 4749686 - SHARMA, VISHAL

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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TWPL00001268